

04-07-00

**NON-PROVISIONAL  
UTILITY PATENT APPLICATION  
TRANSMITTAL - 37 CFR 1.53(b)**

A  
Box sec

☐ Duplicate  
(check, if applicable)

jc781 U.S. PTO  
04/06/00

Assistant Commissioner for Patents  
**BOX PATENT APPLICATION**  
Washington, DC 20231

Attorney Docket No. 9596-67U1 (M1668CO1)  
First Named Inventor: Cines  
Express Mail Label No. EL474254618US  
Total Pages of Transmittal Form: 2

Transmitted herewith for filing is the non-provisional utility patent application entitled:

**COMPOSITION AND METHODS FOR PROMOTING INTERNALIZATION AND  
DEGRADATION OF UROKINASE-TYPE PLASMINOGEN ACTIVATOR**

which is:

an ☐ Original; or

a ☒ Continuation, ☐ Divisional, or ☐ Continuation-in-part (CIP)  
of prior Application No. PCT/US98/21800, filed October 15, 1998.

☒ This non-provisional patent application is based on Provisional Patent Application  
No. 60/062,274, filed October 17, 1997.

Enclosed are:

- ☒ Specification (including Abstract) and claims: 50 pages.
- ☒ Non-executed Declaration.
- ☐ Copy of Declaration from prior application.
- ☐ Separate Power of Attorney (including 37 CFR 3.73(b) statement, if applicable).
- ☒ 8 sheets of drawings (formal).
- ☐ Microfiche computer program (Appendix).
- ☒ Nucleotide and/or Amino Acid Sequence Submission, including:
- ☒ Computer readable copy ☒ Paper Copy ☒ Verified Statement.
- ☐ Under PTO-1595 cover sheet, an assignment of the invention.
- ☐ Certified copy of \_\_\_\_\_ Application No. \_\_\_\_\_, filed \_\_\_\_\_, is filed:  
☐ herewith or ☐ in prior application \_\_\_\_\_.
- ☒ Verified Statement Claiming Small Entity Status under 37 CFR 1.9 and 1.27.
- ☐ was filed in the prior non-provisional application, and such  
status is still proper and desired (37 CFR 1.28(a));
- ☒ is enclosed herewith; ☐ is no longer desired.
- ☒ Preliminary Amendment (7 pages).
- ☐ Information Disclosure Statement, PTO-1449, and cited references.
- ☐ Other:

jc675 U.S. PTO  
09/544665  
04/06/00

The filing fee has been calculated as shown below:

			SMALL ENTITY			LARGE ENTITY	
CLAIMS	NO. FILED	NO. EXTRA	BASIC FEE: \$345			BASIC FEE: \$690	
Total	24-20 =	4	X9	\$ 36	OR	X18	\$
Independent	4- 3=	1	X39	\$ 39	OR	X78	\$
Multiple Dependent Claims Present: __			\$130	\$	OR	\$260	\$
			<b>TOTAL</b>	<b>\$420</b>	OR	<b>TOTAL</b>	<b>\$</b>

\*The filing fee is not being paid at this time.

The Commissioner is hereby authorized to charge payment of the following fees or credit any overpayment to Deposit Account No. 50-1017. One additional copy of this sheet is enclosed.

- ☒ [X] The above calculated filing fee \$0. - (Billing No. 209596-0341).
- ☒ [X] Any additional fees required under 37 C.F.R. § 1.16.
- ☒ [X] Any additional fees required under 37 C.F.R. §1.17.
- ☒ [X] If the filing of any paper during the prosecution of this application requires an extension of time in order for the paper to be timely filed, applicant(s) hereby petition(s) for the appropriate extension of time pursuant to 37 C.F.R. §1.136(a).

**CORRESPONDENCE ADDRESS:**

April 6, 2000  
(Date)

By:

GARY D. COLBY, Ph.D., J.D.

Registration No. 40,961

**AKIN, GUMP, STRAUSS, HAUER & FELD, L.L.P.**

One Commerce Square

2005 Market Street - Suite 2200

Philadelphia, PA 19103

Telephone: 215-965-1200

Facsimile: 215-965-1210

E-Mail: gcolby@akingump.com

**Direct Dial: 215-965-1285**

☒ [X] Customer Number or Bar Code Label: 000570

GDC/ark  
Enclosures

Attorney's Docket No. 9596-67U1 (209596-0341)  
(K1668C01)

Applicant or Patentee: Cines, et al.  
Application or Patent No.: Not Yet Assigned  
Filed or Issued: Herewith  
For: **COMPOSITIONS AND METHODS FOR PROMOTING  
INTERNALIZATION AND DEGRADATION OF  
UROKINASE-TYPE PLASMINOGEN ACTIVATOR**

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(d)) - NON-PROFIT ORGANIZATION**

NAME OF ORGANIZATION: The Trustees of the University of Pennsylvania  
ADDRESS OF ORGANIZATION: 3700 Market Street, Suite 300  
Philadelphia, PA 19104

**TYPE OF ORGANIZATION:**

- ☒ University or other institution of higher education.  
☐ Tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3)).  
☐ Nonprofit scientific or educational under statute of state of the United States of America.  
Name of State \_\_\_\_\_  
Citation of Statute \_\_\_\_\_  
☐ Would qualify as tax exempt under Internal Revenue Code (26 USC 501(a) and 501(c)(3) if located in the United States of America.  
☐ Would qualify as nonprofit scientific or educational under statute of state of United States of America if located in the United States of America.  
Name of State \_\_\_\_\_  
Citation of Statute \_\_\_\_\_

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, with regard to the invention of the above-identified patent or patent application.

I hereby declare that U.S. rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under

37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

**\*NOTE:** Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in the status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Alfred J. Glessner  
TITLE IN ORGANIZATION Director, Operations and Licensing  
ADDRESS OF PERSON SIGNING 3700 Market Street, Suite 300  
Philadelphia, PA 19104

SIGNATURE *Alfred J. Glessner* DATE: 6 APRIL 2000